



## Three-Rank Eligible List Two-Year Pilot Study



A Three-Rank Eligible List is one in which all applicants who meet the minimum qualifications for a classification and pass the examination are placed into one of three ranks.

The five-Member State Personnel Board approved a two-year pilot study on the use of the Three-Rank Eligible List. Eligibility to participate in the Three-Rank Eligible List Pilot Study (Pilot) is determined based on specific criteria and requirements outlined in this document. This document serves as an agreement between the department named in Section A, the State Personnel Board (SPB), and Human Resources Modernization Project (HR Mod).

### Section A: Registration Information

(A separate form must be submitted for each classification.)

Examination Title/Classification(s) and Class Code(s): (Series classifications can be submitted on one form)

Department:

Departmental Contact Information

Name:

Email:

Phone:

Date of this Classification's Most Recent  
Validation Study/Job Analysis:

Consortium Exam? ☐ No ☐ Yes (If yes, please provide the name and contact information of the coordinating department.  
All participating departments must submit a separate Registration/Agreement Form)

Coordinating Department/Contact Information: \_\_\_\_\_

Departments Participating in Consortium:

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### Section B: Eligibility Criteria

Please place an "X" over the box of the category that applies to the named examination:

- ☐ Examination requires professional licensure, certification, registration, or a specialized advanced degree for all minimum qualification patterns.
- ☐ Examination is being administered to facilitate the employment of persons with specialized needs and is NOT currently represented in the Limited Employment and Appointment Program (LEAP).
- ☐ Examination is being administered as a consortium examination.  
(A consortium examination is one in which multiple departments participate in the administration of an examination, and must include participation by departments that, in total, employ a majority of the positions within the classification.)
- ☐ Examination falls outside the three pre-qualification criteria, but is being submitted to be included in the Pilot Study on an exceptional basis. (Justification must accompany this form.)
- ☐ Examination was approved for three-rank scoring prior to July 1, 2008, and is being registered for inclusion in the Pilot Study.

### Section C: Participation Requirements

1. **Baseline Statistical Data.** Baseline statistical data from the prior examination administration for this classification preceding the Pilot must be provided to the SPB and HR Mod in the space provided below (if data not available, please provide an explanation at the end of this section).

a. List Information:

- 1) Date list established \_\_\_\_\_
- 2) Number of applicants \_\_\_\_\_
- 3) Number of ranks \_\_\_\_\_
- 4) Number of reachable eligibles \_\_\_\_\_
- 5) Cut-off score methodology delineating ranks:

b. List Activity:

- 1) Duration of time encompassed by reported data (i.e., life of list, from list establishment to current date, etc.) \_\_\_\_\_
- 2) Number of appeals \_\_\_\_\_
- 3) Number of appointments \_\_\_\_\_
- 4) Number of rejections during probation \_\_\_\_\_

If data not available, please provide an explanation:

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2. **Current Job Analysis.** The examination must have a current validation study or job analysis on file and must be administered in accordance with its recommendations. The validation study/job analysis must be available for review by SPB and HR Mod.

3. **Proposed Scoring.** The scores that will be assigned to each rank must be identified. Applicants who do not pass the examination will always be assigned a score of 65 and will not be ranked or appear on the eligible list. Please indicate the set of scores you will assign for the examination(s) indicated in Section A of this Form. If assigning scores other than 95, 85, 75, please provide the rationale below.

☐ Scores of: Rank 1 = 95, Rank 2 = 85, Rank 3 = 75

☐ Scores of: Rank 1 = \_\_\_\_\_, Rank 2 = \_\_\_\_\_, Rank 3 = \_\_\_\_\_

Rationale:

4. **HR Mod Authorization.** Any examination included in the Pilot must be administered in accordance with standard SPB policies. In order to ensure consistent exam administration processes are followed for this pilot, HR Mod is to be consulted on any examination included in the Pilot. In addition, HR Mod is to review and give authorization for exams to be included in the pilot. Review and authorization will include but may not be limited to, a review and approval of selection materials and processes associated with the classification's examination development and administration. This review will ensure consistent exam administration procedures are followed and must be completed before an examination can be administered.

### Section D: Reporting Requirements

(During the two-year Pilot, periodic reports providing the information described below must be submitted to HR Mod.)

1. **Ongoing Three-Rank Eligible List Examination Statistical Data.** This information must include, but need not be limited to:
  - a. Total number of applicants (to date).
  - b. Total number of reachable eligibles (to date).
  - c. Total number of appeals (to date).
  - d. Total number of appointments (to date).
2. **Probationary Reports.** All probationary reports must be completed on time, as required, for each appointment from the Three-Rank Eligible List. A summary of the probationary report information must be submitted and include, but need not be limited to:
  - a. Number of probationary reports required (to date).
  - b. Number of probationary reports completed on schedule.
  - c. Number of appointees rated overall as "Outstanding."
  - d. Number of appointees rated overall as "Standard."
  - e. Number of appointees rated overall as "Improvement Needed."
  - f. Number of appointees rated overall as "Unacceptable."
  - g. Total number of rejections during probation (to date).

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### Section E: Documentation Requirements

(During the two-year Pilot, a summary of the hiring process for each appointment from the Three-Rank Eligible List shall be maintained.)

**Documentation of Hiring Interview Process.** Hiring interviews are an integral component of the competitive examination process. Therefore, in order to ensure that the hiring process is fair and competitive, the hiring interviews must use a job-related, structured interview process that must conform to the following minimum standards:

- Job-related criteria must be developed in advance and used to review applications, supplemental questionnaires, or any other information used to determine which candidates will be selected to interview.
- Job-related interview questions must be used to assess the fitness and qualifications of each candidate to perform the duties of the position.
- Each candidate must be asked the same set of interview questions. (It is expected and allowed that some candidate responses may require follow up questions for that candidate only.)
- Job-related evaluation criteria must be used to assess the candidates' responses to the interview questions.

A summary of the hiring process utilized for each appointment from the Three-Rank Eligible List must be maintained. SPB and/or HR Mod will audit the documentation maintained by departments, as necessary, to ensure that departments have complied with the above requirements. This summary must include, but need not be limited to:

1. The position's vacancy announcement.
2. Total number of applications received.
3. Supplemental information requested prior to scheduling interviews, if any.
4. Relevant job-related criteria for determining which candidates were selected for interview.
5. A discussion of the job-relatedness and structure of the interview process, along with a listing of the interview questions.
6. Number of applicants interviewed.
7. A statement of why the individual was selected for appointment.

### Section F: Department Certification

**Note:** A separate Registration/Agreement Form must be submitted by each department participating in a consortium examination.

Date:

Department:

As a designee for the Director's Office, I certify by submission of this Registration/Agreement Form to the Human Resources Modernization Project, that the above named department agrees to adhere to the requirements set forth by the Board for participation in the Pilot, as outlined in Sections C, D, & E of this document.

Name:

Title:

Phone:

Email:

Submit Form: Once this Form is complete and ready for submission, please save (electronically) and attach to an email addressed to [3RankPilot@spb.ca.gov](mailto:3RankPilot@spb.ca.gov).

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(For SPB/HR Mod Use Only)

**Section G: Approval Signatures****Human Resources Modernization Project**

Date:

Printed name and title: **Tina Black, Acting Executive Project Director**

Signature:

**State Personnel Board**

Date:

Printed name and title: **Suzanne M. Ambrose, Executive Officer**

Signature: